INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division:	Number:	
Evaluated by: WALLA ANDERSON		Date: 9/29/08	
Assisted by:		Date:	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF I	NSPECTION		Lead Inspe	ector's Signat	ure:	■ # ■
☐ Div	ision Level	☑ Command Level		771.6	1.6	Inder
☐ Offi	ce of Inspections	☐ Voluntary Self-Inspection		1	h	Nouse - C
	llow-up Required:] Yes 🂢 No	☐ Follow-Up Inspection	Command	ers Signature	est on	9/29/08
Manua Chapt	al (SAM), HPM 11.1, 0 er 2.	to State Administrative Chapter 4, and HPM 11.2,	- "			
	approving paperwork repreparing collections?		Yes Yes	□No	□ N/A	Remarks:
(I	for overall management receiving and preparing	rovide necessary guidelines t and accountability of g collections?	Yes	□No	□ N/A	Remarks: OSSI DESK PROCEDURES
3.	duties for collections re		☑ Yes	□No	□ N/A	Remarks:
4.	duties for the cash rece		Yes	☐ No	□ N/A	Remarks:
	Is access to the safe ar restricted?		X Yes	□No	□ N/A	Remarks: CASH 30X
6.	to the safe and/or vault occur?	hich identifies who has access and when changes in access	Yes	□No	□ N/A	Remarks:
7.	number of employees of combination, transferred requires access?	d out of the Area, or no longer	☐ Yes	□ No	▼N/A	Remarks:
8.	Is the safe securely and	chored to the building?	☐ Yes	□No	⊠ N/A	Remarks: No SAFE
9.	Are weekly transmittal raccordance with depart	mental policy?	⊠ Yes	□No	□.N/A	Remarks:
10.		I report(s) submitted to Fiscal FMS) within five working days ared by the report?	Yes	□ No	□ N/A	Remarks:

INSPECTION PROGRAM

 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. 	15/1 Yes	□ No	□ N/A	Remarks:
 (5) CHP 464, Traffic Control Cost Estimate – Advance Deposit. (6) Civil subpoena. 12. Is a memorandum for cash shortages prepared if 				
necessary?	✓ Yes	□No	□ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	Yes	□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	Yes	- □ No	⊠ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	Yes Yes	□No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	☐ Yes	□No	MN/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ .Yes	□No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□No	₩N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	Yes	□.No.	□ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	Yes	No	□ N/A	SER EXCEPTIONS Remarks: DOCUMENT SUSPENSE ITEM
22. Is the CHP 264 properly authorized?	M Yes	□No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	Yes	□No	□ N/A	Remarks: Audit Newos
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	YYes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	□No	⊠ N/A	Remarks: Po CHANLE Fun
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	Yes	☐ No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	ĭ ⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	MNo	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	M No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	∑ Î Yes	□ No	□ N/A	Remarks: Have and FILE

COMMAND INSPECTION PROGRAME EXCEPTIONS DOCUMENT

Command: DGIF	Northern Division	Chapter: 4	
Inspected by: OSS1 Marla An	derson, #A3480	Date: 09/29/2008	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level ☐ Appeal Included ☐ Executive Office Level ☐ Attachments Included Commander's Signature: Forward to: Date: Follow-up Required: 09/29/2008 ☐ Yes NO Due Date: Chapter Inspection: Inspector's Comments Regarding Innovative Practices: None Command Suggestions for Statewide Improvement: None

Inspector's Findings:

During the Chapter 4 Inspection, the inspector found that DGIF was not in complete compliance with policies and procedures as outlined in HPM 11.1, Chapter 4 and HPM 11.2, Chapter 2 related to the submission of the CHP Form 264 on a monthly basis when petty cash receipts exceed \$10.00. It has been determined that the CHP 264 has prepared in accordance with policy at the end of the fiscal year and when replenishing funds.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: DGIF	Northern Division	Chapter 4
Inspected by: OSS1 Marla Ander	son, #A3480	Date: 09/29/2008

Page 2

Commander's Response:

The commander has ensured that the quarterly petty cash audits have been conducted and all monies have been accounted for. To ensure compliance with submitting the CHP form 264 on a monthly basis when receipts exceed \$10.00, a suspense has been created to bring this to the attention of the OSS1 and the Facility Commander.

Inspector's Comments:

None.

Required Action

Corrective Action Plan/Timeline

Corrective action to ensure compliance with submitting the CHP 264 on a monthly basis has been accomplished. This was done immediately upon become aware of the deficiency.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter:
DGIF	Northern	4
Inspected by:		Date:
OSSI Marla	Anderson, #A3480	09/29/2008

Appeal Process	: (Appeals shall be filed wi	thin five (5) business da	ys of the completed	l chapter inspectio	on).
Commander's B	sasis for Appeal:	E. S. Santa		parsa - 134	integrate to
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9 (44)					
A					
	Decision: (This shall be th	te only level of appears.			
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Dia -		per sell so	3.0		872
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ead Inspector's Signature	dan		Date:	29/08	

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Williams Area	Division: Northern Division	Chapter.
inspected by:		Date;
Bettina L. Oldha	11/21/2008	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required. TYPE OF INSPECTION Division Level	Forward to: Due Date:	Corrective Action Plan Included Appeal Included Attachments Included Commander's Signature:	Date: 2/19/09
	Regarding Innovative Pra		
Command Suggestions	for Statewide Improvem	ent:	· · · · · · · · · · · · · · · · · · ·
		8	н

Fiscal Controls: Area does have an on site safe and/or vault. Memorandums for cash shortages are prepared as necessary.

Inspector's Findings:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command: Williams Area	Division: Northern Division	Chapter:
Inspected by:		Date:
Bettina L. Oldham		02/21/2008

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Commander's Response:		
Continuated a Nesponse.		

Al fiscal controls are being conducted in accordance with Departmental policies and procedures.

Inspector's Comments:

I concur.

Required Action

Corrective Action Plan/Timeline

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Page 3

Command: Williams Area	Division: Northern Division	Chapter:
Inspected by: Bettina L. Oldham		Date: 11/21/2008

Appeal Process: (Appeals shall be filed within five (5) b	usiness days of the completed	chapter Inspection).
Commander's Basis for Appeal:		

Appeal Review/Decision:	(This shall be the only level of appeal).		

15		
Lead Inspector's Signature:	Date:	
Setuma	02/19/2009	
Responding Commander's Signature (for appeal):	Date:	
In X6	02/19/2009	

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: Redding Area	Division: Northern	Number: 135	
Evaluated by: Sergeant Mark Garcia		Date: 11/12/08	
Assisted by: Dorothy Romeo		Date: 11/12/08	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Inspe	ector's Signati	ıre:		
☐ Division Level	ivision Level 🔀 Command Level			1			
☐ Office of Inspections ☐ Voluntary Self-Inspection		4		ET F	CR SGT GARCIA		
Follow-up Req	uired: No Follow-Up	Inspection	Commande	er's Signature	: 1	Date: 11/13/08	
	es, refer to State Adminis 111.1, Chapter 4, and HI					· ·	
Is manageme approving par preparing coll		and	⊠ Yes	□No	□ N/A	Remarks:	
Procedures (S for overall ma	mand have Standard Opera SOP) to provide necessary on agement and accountabilit preparing collections?	guidelines	☐ Yes			Remarks: Area personnel follow policy contained in HPM 11.2, Chapter 2.	
3. Does the com	mand have adequate separections received?	ation of	⊠ Yes	□No	□ N/A	Remarks:	
Does the command have adequate separation of duties for the cash receipt process?		ation of	⊠ Yes	□No	□ N/A	Remarks:	
5. Is access to the restricted?	e safe and/or vault appropr		Yes	□No	⊠ N/A	Remarks: Redding Area does not have a safe or vault for our collections or change fund. The Area uses two locked drawers that contain locked Petty Cash and locked Collections boxes.	
6. Does a record exists which identifies who has access to the safe and/or vault and when changes in access occur?		☐ Yes	⊠ No	□ N/A	Remarks: Redding Area does not have a safe or vault. Clerical staff has access to the locked Petty Cash and Collections drawers. A duplicate set of keys is in the Sergeants' lock box.		
number of em combination, t requires acces	combination changed when ployees were aware of the ransferred out of the Area, s?	or no longer	☐ Yes	□ No	⊠ N/A	Remarks: The key is available to the clerical staff and there is no combination lock to change.	
8. Is the safe sec	urely anchored to the buildi	ng?	☐ Yes	□No	⊠ N/A	Remarks: Redding Area does not have a safe for the Collections or Change funds.	
	nsmittal reports prepared in th departmental policy?		⊠ Yes	□ No	□ N/A	Remarks:	

INSPECTION PROGRAM

			T	
10. Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days following the week covered by the report?	⊠ Yes	□ No	□ N/A	Remarks:
 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. 	⊠ Yes	□ No	□ N/A	Remarks:
(5) CHP 464, Traffic Control Cost Estimate –Advance Deposit.(6) Civil subpoena.		Bay		2
12. Is a memorandum for cash shortages prepared if necessary?	☐ Yes	□ No	⊠:N/A	Remarks: None were required during this rating period.
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	☐ No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□ No	□ N/A	Remarks: A copy of the witness fee subpoena is also attached to the Counter Receipt.
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□ No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	⊠ Yes	□No	□ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	□No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□ No	⊠ N/A	Remarks: No transfers were done during this rating period.
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	☐ No	⊠ N/A	Remarks: This form is not used at the Command level.
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks: A CHP 264 was completed on June 27, 2007, due to the weekend.
22. Is the CHP 264 properly authorized?	⊠ Yes	□ No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□ No	□ N/A	Remarks: The Commander reviews the CHP 264 and quarterly audits and

INSPECTION PROGRAM

				pop audits are also conducted.
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?		☐ No	□ N/A	Remarks:
26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks: The funds are kept in locked chests in locked drawers.
28. Are all petty cash purchases under \$50?	☐ Yes	⊠.No	□ N/A	Remarks: On June 16, 2008, a petty cash payment for \$50.00 was made to purchase ice for the officers working at the Shasta County District Fair. Per HPM 11.2, Chapter 2, a maximum of \$50 per purchase is allowed.
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠.No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Redding	Division: Northern	Chapter:
Inspected by: OSSI Dorothy	y Romeo	Date: 11/12/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. Corrective Action Plan Included TYPE OF INSPECTION ☐ Division Level ☐ Command Level Appeal included Attachments Included Date: Commander's Signature: Forward to: Follow-up Required: Northern Division 11/13/08 ⊠ No ☐ Yes Due Date: Chapter Inspection: Inspector's Comments Regarding Innovative Practices: None. Command Suggestions for Statewide Improvement: None.

Area Command Procurement practices were found to be in compliance with the inspection checklist/departmental policy.

Inspector's Findings:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 2

Command:	Division:	Chapter:
Redding	Northern	4
Inspected by:		Date:
OSSI Doroth	y Romeo	11/12/2008

Commander's Response:			
	**		
Inspector's Comments:			
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		stration as the state	
Required Action			
Corrective Action Plan/Timeline			251. 811. 278. 01018

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

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Command:	Division:	Chapter:
Redding	Northern	4
Inspected by:		Date:
OSSI Doroth	y Romeo	11/12/2008

Appeal Process: (Appeals shall be filed with	nin five (5) business days of	the completed chapter inspection).	清水
Commander's Basis for Appeal:			
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Appeal Review/Decision: (This shall be the	only level of appeal).		
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		*	
ead Inspector's Signature:		Date: 1/-(3-08	
Responding Commander's Signature (for appeal):		Date:	

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STATE OF CALIFORNIA DEL'ARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: 146 Division: Mt. Shasta Northern		Number:
Evaluated by: Sgt. Annie Garcia, #14578		Date: 11/12/2008
Assisted by: Jane Decker, #A9484		Date: 11/12/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Insp	ector's Signat	nie:	
☐ Division Level	□ Command Level				
Office of Inspections	☐ Voluntary Self-Inspection	0.	Gau		#14578
Follow-up Required: ☐ Yes	☐ Follow-Up Inspection	Command	er's Signature): 	Date: 11/18/18
For applicable policies, refer Manual (SAM), HPM 11.1, C Chapter 2.	hapter 4, and HPM 11.2,	CE		/8	4
 Is management actively approving paperwork re preparing collections? 		⊠ Yes	□No	□ N/A	Remarks:
for overall management receiving and preparing	ovide necessary guidelines and accountability of collections?	☐ Yes	⊠ No	□ N/A	Remarks: Area manages collections per HPM 11.1.
duties for collections red		⊠ Yes	☐ No	□ N/A	Remarks;
 Does the command have duties for the cash received 	pt process?	⊠ Yes	□No	□ N/A	Remarks:
Is access to the safe an restricted?		☐ Yes	□No	⊠ N/A	Remarks:
to the safe and/or vault a occur?	ich identifies who has access and when changes in access	Yes	□ No	⊠ N/A	Remarks:
requires access?	vere aware of the d out of the Area, or no longer	☐ Yes	□No	⊠ N/A	Remarks:
8. Is the safe securely anci	nored to the building?	☐Yes	□No	⊠ N/A	Remarks;
 Are weekly transmittal re accordance with departn 	eports prepared in nental policy?	⊠ Yes	□No	□ N/A	Remarks:
Is the weekly transmittal	report(s) submitted to Fiscal MS) within five working days	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. CHP 464, Traffic Control Cost Estimate – Advance Deposit. Civil subpoena. 	⊠ Yes	□ No	□ N/A	Remarks:
12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	□ No	□ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	☐ No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□ No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	☐ No	⊠ N/A	Remarks: No special event details were completed.
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	□No	⊠ N/A	Remarks: All Items are contracted with Applied Concepts.
17. Is sales tax added to items that are not for resale?	X Yes	No	□ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	☐ No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□No	⊠ N/A	Remarks: No transfers have been made.
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠Yes	□No	□ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	⊠ Yes	□ No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□ No	□ N/A	Remarks;
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks:
25, Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yes	□No	⊠ N/A	Remarks: No overages or shortages were incurred.

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL **INSPECTION PROGRAM** Chapter 4 Fiscal Controls

5309266935

Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	☐ Yes	□ No	⊠ N/A	Remarks: The Area does not have a safe. At no point do Area funds exceed these limits.
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

5309266935

STAT'E OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command: 146	Division: 101	Chapter: 4
Mount Shasta	Northern	Fiscal Controls
Inspected by: Sgt. Annie Gard	oia .	Date: 11/12/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		Corrective Action Plan Include	d	
☐ Division Level ☒ Command Level		Appeal Included		
☐ Executive Office Level	<i>2</i>	☐ Attachments Included		
Follow-up Required:	Forward to: _Northern Division_	Commander's Signature:	Date:	
	Due Date:	The second	2-23-0	
Chapter Inspection:	AND THE PARTY			
Inspector's Comments Reg	arding Innovative Practic	ces:		
None.				
	9	74		
	*			
(
Command Suggestions for	Statewide Improvement:			
None.		· ·		
4		(A		
Inspector's Findings:	WV.			

There were no discrepancies found.

10/09/2009 10:11

5309266935

CHP MOUNT SHASTA

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: 146 Mount Shasta	Division: 101 Northern	Chapter: 4 Fiscal Controls
Inspected by:	-	Date:
Sgt. Annie Gard	ia	11/12/2008

Commander's Response:	7
7	

Inspector's Comments:

None.

Required Action

Corrective Action Plan/Timeline

None.

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL **COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT** Page 3

Command: 148 Mount Shasta	Division: 101 Northern	Chapter: 4 Fiscal Controls	
Inspected by: Sgt. Annie Gard	oia	Date: 11/12/2008	

CHP MOUNT SHASTA

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inance s D	asis ioi Appeal;	-			
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			9		

Lead Inspector's Signature:	Date;	****
Responding Commander's Signature (for appeal):	Date:	

Page

1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division:	Number:
Humboldt	Northern	
Evaluated by:		Date:
M. Larsen, Sergeant		11-20-2008
Assisted by:		Date:
H. Rosendahl, Sergeant		11-20-2008

discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Division Level ⊠ Command Level Office of Inspections □ Voluntary Self-Inspection Commander's Signature: Follow-up Required: Date: Follow-Up Inspection ⊠ No Yes For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: approving paperwork related to receiving and ⊠ Yes □ N/A □ No preparing collections? 2. Does the command have Standard Operating Remarks: Procedures (SOP) to provide necessary guidelines □ N/A Yes ⊠ No for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: duties for collections received? □ N/A ⊠ Yes □ No 4. Does the command have adequate separation of Remarks: duties for the cash receipt process? ⊠ Yes □ N/A □ No 5. Is access to the safe and/or vault appropriately Remarks: restricted? ⊠ N/A ☐ Yes No 6. Does a record exists which identifies who has access Remarks: to the safe and/or vault and when changes in access ⊠ N/A Yes Yes ☐ No occur? 7. Was the lock combination changed when an excess Remarks: number of employees were aware of the ☐ Yes ΠNο \square N/A combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: ⊠ N/A Yes ☐ No Are weekly transmittal reports prepared in Remarks: accordance with departmental policy? X Yes □ No \square N/A 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks: Management Section (FMS) within five working days X Yes □ No □ N/A

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such

following the week covered by the report?

INSPECTION PROGRAM

	 11. Does the command submit the following forms with the weekly transmittal when applicable? (1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. (2) CHP 36, Evidence/Property Receipt/Report 	⊠ Yes	□ No	□ N/A	Remarks:
	 (Unclaimed Property). (3) STD 634, Absence and Additional Time Worked Report, for jury duty. (4) CHP 221, Malicious Damage Report. (5) CHP 464, Traffic Control Cost Estimate – Advance Deposit. (6) Civil subpoena. 		 		
	12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	☐ No	□ N/A	Remarks:
	13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
	14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
	15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	☐ No	□ N/A	Remarks:
	16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	⊠ No	□ N/A	Remarks: Area does not receive funds for the fleet items mentioned.
	17. Is sales tax added to items that are not for resale?	☐ Yes	□No	⊠ N/A	Remarks:
	18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	□No	□ N/A	Remarks:
	19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□ No	⊠ N/A	Remarks:
	20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	□ No	⊠ N/A	Remarks:
	21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks: Except during state budget crisis.
	22. Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/A	Remarks:
	23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
	24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks:
114	25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐Yes	□No	⊠ N/A	Remarks: Accurate to date.

INSPECTION PROGRAM

26.	Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27.	Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□ No	□ N/A	Remarks:
28.	Are all petty cash purchases under \$50?		□ No	□ N/A	Remarks:
29.	Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30.	Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31.	Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks: OSSI

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Humboldt Area	Northern	Four
Inspected by:		Date:
Sergeant Matt L	arsen	11/20/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.	on conve donon plane, and may	and the appear manager of the second	
TYPE OF INSPECTION		Corrective Action Plan Included	
☐ Division Level ☐ Command L	_evel	Appeal Included	
Executive Office Level		Attachments Included	
Follow-up Required:	Forward to: Northern Division	Commander's Signature:	Date:
☐ Yes	Due Date: 2/20/2009	Halit Conner	2/18/09
Chapter Inspection: Chapter	Four - Fiscal Controls		
Inspector's Comments Regar	rding Innovative Practic	es:	
Humboldt Area has not imple	mented any innovative	practices warranting departmental c	consideration.
Our supervisory staff is encounded, and accountability.	uraged to evaluate meth	nods which would improve fiscal ma	nagement,
	55		
Command Suggestions for S	tatewide Improvement:		
Humboldt Area recommends \$10.00 to \$50.00 dollars. Thi funds.	raising the current repo is would reduce associa	orting requirement for petty cash reparted paperwork and ease managem	lenishment from ent of petty cash
Inspector's Findings:			
maperior 5 Findings.			

Sergeant Hal Rosendahl and OSSI Kimberly Holland assisted with completion of this inspection. They both share in responsibility and oversight of fiscal management and have a genuine concern for ensuring related policies and procedures are followed.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command:	Division:	Chapter
Humboldt Area	Northern	Four
Inspected by:		Date:
Sergeant Matt L	arsen	11/20/2008

Page 2

Commander's Response:

See inspector's findings.

Inspector's Comments:

See inspector's findings

Required Action: None required

Corrective Action Plan/Timeline

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PRO

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3 Humboldt Area Northern Four Date:
Sergeant Matt Larsen 11/20/2008

Command:

Division:

Chapter:

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal:

N/A

Appeal Review/Decision: (This shall be the only level of appeal).

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Lead-Inspector's Signature:	Date: 2 (18/09
Responding Commander's Signature (for appeal):	Date:

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division: Northern	Number: 131
Cottonwood		
Evaluated by:		Date:
Lieutenant Todd Morrison		10/08/2008
Assisted by:		
Sergeant Vince	Zambrana	10/08/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF	INSPECTION		Lead Insp	ector's Signat	ure:		
☐ Di	vision Level	□ Command Level		och	م ر	- 	
☐ Of	fice of Inspections	☐ Voluntary Self-Inspection			- 10		
F	ollow-up Required: ☐ Yes ⊠ No	☐ Follow-Up Inspection	Command	er's Signature	: non	ijen	Date: 10/08/2008
	pplicable policies, refer t al (SAM), HPM 11.1, Ch ter 2.			Av			
	Is management actively approving paperwork relaproparing collections?		⊠ Yes	□No	□ N/A	Remarks:	
2.	Does the command have	vide necessary guidelines and accountability of	☐ Yes	⊠ No	□ N/A	Commander two sergeant process. De	espective personnel (i.e., , Office Supervisor and ts), are trained in this evelopment of SOP of necessary at this time.
3.	Does the command have duties for collections rece	adequate separation of	⊠ Yes	□No	□ N/A	Remarks:	
4.	Does the command have duties for the cash receip		⊠ Yes	□No	□ N/A	Remarks:	
5.	Is access to the safe and restricted?	or vault appropriately	☐ Yes	□No	⊠ N/A	Remarks: No premises.	o safe or vault on the
6.		th identifies who has access and when changes in access	☐ Yes	□ No	⊠ N/A	Remarks:	į.
7.	number of employees we	changed when an excess re aware of the out of the Area, or no longer	☐ Yes	□No	⊠ N/A	Remarks:	
8.	Is the safe securely ancho	ored to the building?	☐ Yes	☐ No	⊠ N/A	Remarks:	
9.	Are weekly transmittal repactordance with department		⊠ Yes	□No	□ N/A	Remarks:	
10.	Is the weekly transmittal re	eport(s) submitted to Fiscal S) within five working days	⊠ Yes	☐ No	□ N/A	Remarks:	

INSPECTION PROGRAM

 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. CHP 464, Traffic Control Cost Estimate – Advance Deposit. Civil subpoena. 	⊠ Yes	□No	□ N/A	Remarks:
12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	□No	□ N/A	Remarks: To date, we have not experienced any cash shortages.
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□ No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?		□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	□No	⊠ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	□No	⊠ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	☐ Yes	□No	⊠ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	□No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□No	⊠ N/A	Remarks: To date, this function has not been necessary for this command.
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	□ No	⊠ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	☐ Yes	⊠ No	□ N/A	Remarks: Replenishment has been requested semi-annually, due to the low volume of its use.
22. Is the CHP 264 properly authorized?	⊠ Yes	□ No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks: This function is performed quarterly by the commander or his/her designee.
Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yes	□No	⊠ N/A	Remarks: To date, we have not experienced an overage or shortage of petty cash.

Page

3 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□ No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Cottonwood IF	Division: Northern	Chapter: Four
Inspected by:		Date:
Lieutenant Todd	Morrison	10/08/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION

Corrective Action Plan Included

TYPE OF INSPECTION		☐ Corrective Action Plan Included		
☐ Division Level ☐ Command Level		Appeal Included		
Executive Office Level		☐ Attachments Included		
Follow-up Required: Forward to: Northern Division Yes No No No No No No No		Commander's Signature:	Date: 10/10/2008	
☐ res ☑ No	Due Date: 11/20/2008	lose monso	_	
Chapter Inspection:			ore a strong of	
Inspector's Comments Reg	arding Innovative Practic	es:		

Cottonwood Inspection Facility has not implemented any innovative practices warranting departmental consideration. Our supervisory staff is encouraged to evaluate methods which would improve fiscal management, control and accountability.

Command Suggestions for Statewide Improvement:

Cottonwood Inspection Facility recommends raising the current reporting requirement for petty cash replenishment from \$10.00 to \$50.00. This strategy would reduce associated paperwork and ease management of petty cash funds.

It is further suggested that commanders ensure respective management/supervisory staff are actively involved with all aspects of Area fiscal management to enhance oversight and accountability thereof.

Inspector's Findings:		 	
	Inspector's Findings:		

Sergeant Vince Zambrana and Office Services Supervisor Diana Hutchinson assisted with completion of this inspection. They both share in the responsibility of fiscal management and maintain a genuine regard for ensuring related policies and procedures are followed.

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command: Division: Northern Chapter: Four

Cottonwood IF

Inspected by: Date:
Lieutenant Todd Morrison 10/10/2008

Page 2

Commander's Response:	All		

See Inspector's Findings.

Inspector's Comments:

See Inspector's Findings.

Required Action

Corrective Action Plan/Timeline

No corrective action required.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: Cottonwood IF	Division: Northern	Chapter: Four
Inspected by:		Date:
Lieutenant Todd Morrison		10/10/2008

Page 3

Appeal Process: (Appeals shall be filed within five (5) business days of the	ne completed chapter inspection).
Commander's Basis for Appeal:	
N/A	*
∞	
D.	
Appeal Review/Decision: (This shall be the only level of appeal).	
	I Date
ead Inspector's Signature:	10 - 10 - 08
tesponding Commander's Signature (for appeal):	Date:

To 010V 12/9/68
Page 1 of 3

Remarks:

□ N/A

☐ No

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: Division:		Number:		
NORTHERN NORTHERN		101		
Evaluated by:	Date:			
SUSANNA JENKINS, OSSII		11/13/2008		
Assisted by:		Date:		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION KALIS, OSSIL Command Level ☐ Division Level ☐ Voluntary Self-Inspection Office of Inspections Commander's Signature: Date: Follow-up Required: Follow-Up Inspection ⊠ No Yes 11-20-08 For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. Is management actively involved in reviewing and Remarks: X Yes □ No □ N/A approving paperwork related to receiving and preparing collections? 2. Does the command have Standard Operating Remarks: WE REFER TO HPM 11.1, M Yes ⋈ No □ N/A Procedures (SOP) to provide necessary guidelines CHAPTER 4 AND HPM 11.2, for overall management and accountability of CHAPTER 11.2 receiving and preparing collections? 3. Does the command have adequate separation of Remarks: □ N/A X Yes □ Nò duties for collections received? 4. Does the command have adequate separation of Remarks: duties for the cash receipt process? X Yes ☐ No □ N/A 5. Is access to the safe and/or vault appropriately Remarks: Money is not kept in a □ No ⊠ N/A restricted? ☐ Yes 6. Does a record exists which identifies who has access Remarks: Money is not kept in a ⊠ N/A to the safe and/or vault and when changes in access ☐ Yes □ No occur? Was the lock combination changed when an excess Remarks: Money is not kept in a N/A ☐ Yes No number of employees were aware of the combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: ⊠ N/A ☐ Yes □ No Are weekly transmittal reports prepared in Remarks: X Yes No □ N/A accordance with departmental policy? 10. Is the weekly transmittal report(s) submitted to Fiscal

X Yes

Management Section (FMS) within five working days

following the week covered by the report?

INSPECTION PROGRAM

 Does the command submit the following forms with the weekly transmittal when applicable? (1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. (2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). (3) STD 634, Absence and Additional Time Worked Report, for jury duty. (4) CHP 221, Malicious Damage Report. (5) CHP 464, Traffic Control Cost Estimate – Advance Deposit. (6) Civil subpoena. 	⊠ Yes	□No	□ N/A	Remarks:
12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?		□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□ No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?		☐ No	□ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	☐ No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	∑ Yes	□No	□ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	□ No	⊠ N/A	Remarks: No occasion to use.
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	☐ No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?		□No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	☐ No	□ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	☐ No	□ N/A	Remarks:

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?		□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?		□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Northern	Division: Northern	Chapter: 4
Inspected by:		Date:
Susanna Jenkins, OSSII		11/13/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION x Corrective Action Plan Included Division Level x Command Level Appeal Included ☐ Executive Office Level Attachments Included Commander's Signature: Forward to: Date: Follow-up Required: Yes x No 11-20-08 Due Date:

None

Chapter Inspection:

Command Suggestions for Statewide Improvement:

Inspector's Comments Regarding Innovative Practices:

None

Inspector's Findings:

Division administrative units are complying with existing policies and laws.

Fiscal Constrols

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Northern	Division: Northern	Chapter: 4
Inspected by:		Date:
Susanna Jenkins, OSSII		11/13/08

Commander's Response:	

I concur with the evaluator's findings.

Inspector's Comments:

None

Required Action

Corrective Action Plan/Timeline

None

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 3

Command: Northern	Division: Northern	Chapter: 4	
Inspected by:		Date:	
Susanna Jenkin	is, OSSII	11/13/08	

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
es established and the second	
Appeal Review/Decision: (This shall be the only level of appeal).	
· ·	
Lead Inspector's Signature:	Date: 4/20/2008
Responding Commander's Signature/(for appeal):	Date:
	<u></u>

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division: Northern	Number:
Ukiah Area	Division	150
Evaluated by:		Date:
Sergeant D. I. Tafel, #12222		11/10/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspe	ector's Signatu	re:		
☐ Division Level ☐ Command L	evel	X 1 7 1 1				
☐ Office of Inspections ☐ Voluntary Se	elf-Inspection	D.J. 241				
Follow-up Required:		Commande	er's Signature:			Date:
☐ Yes No ☐ Follow-Up	o Inspection	11/17/2008			11/17/2008	
For applicable policies, refer to State Admini Manual (SAM), HPM 11.1, Chapter 4, and H Chapter 2.	IPM 11.2,					
 Is management actively involved in revie approving paperwork related to receiving preparing collections? 		⊠ Yes	☐ No	□ N/A	Remarks:	
 Does the command have Standard Oper Procedures (SOP) to provide necessary for overall management and accountabili receiving and preparing collections? 	guidelines	⊠ Yes	☐ No	□ N/A	Remarks:	
Does the command have adequate sepa duties for collections received?	aration of	⊠ Yes	□No	□ N/A	Remarks:	
 Does the command have adequate sepa duties for the cash receipt process? 	ration of	⊠ Yes	□No	□ N/A	Remarks:	
5. Is access to the safe and/or vault appropressricted?	•	☐ Yes	☐ No	⊠ N/A	Remarks:	
Does a record exists which identifies who to the safe and/or vault and when change occur?		☐ Yes	☐ No	⊠ N/A	Remarks:	
7. Was the lock combination changed wher number of employees were aware of the combination, transferred out of the Area, requires access?		☐ Yes	□No	⊠ N/A	Remarks:	
Is the safe securely anchored to the build	ding?	☐ Yes	□No	⊠ N/A	Remarks:	
Are weekly transmittal reports prepared i accordance with departmental policy?		⊠ Yes	□No	□ N/A	Remarks:	
 Is the weekly transmittal report(s) submit Management Section (FMS) within five week covered by the report 	vorking days	⊠ Yes	□ No	□ N/A	Remarks:	

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INSPECTION PROGRAM

	 Does the command submit the following forms with the weekly transmittal when applicable? (1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. (2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). (3) STD 634, Absence and Additional Time Worked Report, for jury duty. (4) CHP 221, Malicious Damage Report. (5) CHP 464, Traffic Control Cost Estimate – Advance Deposit. (6) Civil subpoena. 	⊠ Yes	□No	□ N/A	Remarks:
	Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	□No	□ N/A	Remarks:
	Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
	Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
	Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
	Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□No	□ N/A	Remarks:
	Is sales tax added to items that are not for resale?	⊠ Yes	☐ No	□ N/A	Remarks:
	Are all counter receipts pre-numbered and issued in numerical sequence?	⊠Yes	□No	□ N/A	Remarks:
	Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	□No	□ N/A	Remarks:
	Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠ Yes	☐ No	□ N/A	Remarks:
	Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks:
22.	Is the CHP 264 properly authorized?	⊠ Yes	☐ No	□ N/A	Remarks:
	Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
	Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks:
25.	Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	□No	□ N/A	Remarks:

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	☐ No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Ukiah	Division: Northern Division	Chapter:
Inspected by: Sergeant D. I. Taf	el, #12222	Date: 11/10/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		☐ Corrective Action Plan Included			
☐ Division Level ☐ Command Level		Appeal Included			
Executive Office Level					
Follow-up Required:	Forward to: Northern Division	Commander's Signature:	Date: 11/17/2008		
☐ Yes	Due Date: 11/20/2008	A.C.			
Chapter Inspection:		AND TO A BEST OF THE STATE OF T			
Inspector's Comments Rega	rding Innovative Practice	es:			
Ukiah Area's Fiscal Control policies and procedures were very well organized.					
Command Suggestions for S	tatewide Improvement:				
None					
Inspector's Findings:					

As stated above the Ukiah Area's Fiscal control policies and procedures were very well organized. No discrepancies were found.



STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL **COMMAND INSPECTION PROGRAM**

Command: Division: Chapter: Northern Division 4 Ukiah Inspected by: Sergeant D. I. Tafel, #12222 Date: 11/10/2008

EXCEPTIONS DOCUMENT Page 2

Commander's Response:	
Commander acknowledges and does not dispute the auditors' fi	ndings.
Inspector's Comments:	
inspector's Comments.	
None	
Required Action	
Required Action	Mark and the second professional forces
Corrective Action Plan/Timeline	
No corrective action required.	
Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
Not Applicable	
• •	
Appeal Review/Decision: (This shall be the only level of appeal).	
Not Applicable	
Lead Inspector's Signature:	Date: 11/17/2008
Responding Commander's Signature (for appeal):	Date:
A.C.	11/17/2008

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: ALTURAS	Division: NORTHERN	Number: 170-05-08
Evaluated by: ACT. SGT. MIK #11285	E NARDONI	Date: 10/29/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Division Level Command Level Office of Inspections ☐ Voluntary Self-Inspection Commander's Signature Follow-up Required: Follow-Up Inspection 11-1-08 ⊠ No ∃Yes For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: approving paperwork related to receiving and X Yes ☐ No \square N/A preparing collections? 2. Does the command have Standard Operating Remarks: Procedures (SOP) to provide necessary guidelines X Yes ☐ No □ N/A for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: duties for collections received? X Yes □No □ N/A 4. Does the command have adequate separation of Remarks: duties for the cash receipt process? □No N/A 5. Is access to the safe and/or vault appropriately Remarks: LOCK BOX IS IN A ⊠ Yes restricted? ☐ No ☐ N/A LOCKED DRAWER. Does a record exists which identifies who has access Remarks: X Yes □ No \square N/A to the safe and/or vault and when changes in access occur? 7. Was the lock combination changed when an excess Remarks: THE LOCK ON THE number of employees were aware of the Yes □ No ⊠ N/A LOCK BOX IS SECURED WITH A combination, transferred out of the Area, or no longer KEY. requires access? 8. Is the safe securely anchored to the building? Remarks: Yes No ⊠ N/A 9. Are weekly transmittal reports prepared in Remarks: X Yes □ No accordance with departmental policy? \square N/A 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks: Management Section (FMS) within five working days □ No □ N/A following the week covered by the report?

INSPECTION PROGRAM

	Does the command submit the following forms with the weekly transmittal when applicable? (1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. (2) CHP 36, Evidence/Property Receipt/Report	⊠ Yes	□No	□ N/A	Remarks:
	(Unclaimed Property). (3) STD 634, Absence and Additional Time Worked Report, for jury duty.				
	 (4) CHP 221, Malicious Damage Report. (5) CHP 464, Traffic Control Cost Estimate – Advance Deposit. (6) Civil subpoena. 				
12.	Is a memorandum for cash shortages prepared if necessary?		□No	□ N/A	Remarks:
	Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
	Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	. 🗌 No	□ N/A	Remarks:
	Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	□No	⊠ N/A	Remarks:
i	Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	☐ No	□ N/A	Remarks:
17.	Is sales tax added to items that are not for resale?	☐ Yes	⊠ No	□ N/A	Remarks:
	Are all counter receipts pre-numbered and issued in numerical sequence?		□No	□ N/A	Remarks:
	Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	Yes	⊠ No	□ N/A	Remarks: THE TRANSFER OF A RECEIPT BOOK WAS DOCUMENTED WHEN THE TRANSFER OCCURRED/THE TRANSFER WAS CORRECTED ON A CHP 266A ON 10-29-2008.
	Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	. No	⊠ N/A	Remarks:
	Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	☐ No	□ N/A	Remarks:
22.	Is the CHP 264 properly authorized?		☐ No	□ N/A	Remarks:
	Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
	Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks:
	Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yes	□No	⊠ N/A	Remarks:

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	☐ Yes	☐ No	R N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:



COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
ALTURAS	NORTHERN	4
Inspected by: R.M. NARDONI #11285	;	Date: 02-13-2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		☐ Corrective Action Plan Included
☐ Division Level ☐ Comman	d Level	Appeal Included
Executive Office Level		Attachments Included
Follow-up Required:	Forward to:	Commander's Signature: Date:
☐ Yes	Due Date:	2.19.09
Chapter Inspection:		
Inspector's Comments Reg	garding Innovative Practice	es:
N/A		
1 4/7 1		

Command Suggestions for Statewide Improvement:

N/A

Inspector's Findings:

THE ALTURAS AREA DOES NOT HAVE A SAFE OR VAULT TO SECURE PETTY CASH. THERE IS A LOCK BOX THAT IS SECURED IN A LOCKED DRAWER WITH LIMITED ACCESS BY OSS1 (K. KNAUSS) AND OA (L. MINTO). THE LOCK BOX IS SECURED WITH A KEY LOCK AND NOT A COMBINATION LOCK. THE ALTURAS AREA MAINTAINS \$20.00 IN THE CHANGE FUND AND \$200.00 IN PETTY CASH. ALL CASH IS SECURED IN A LOCKED DRAWER. \$20.00 CHANGE HAS BEEN PROVEN TO BE AN APPROPRIATE AMOUNT OF CASH TO KEEP ON HAND THROUGH MANY YEARS OF SERVICE TO THE PUBLIC. DURING THE CHAPTER 4 INSPECTION WE LEARNED THAT A COUNTER RECEIPT BOOK #827156 WAS SHIPPED TO THE SUSANVILLE AREA OFFICE ON 10-03-2008. DURING THE INSPECTION WE ALSO LEARNED THAT A CHP 266A WAS REQUIRED FOR THE COUNTER RECEIPT BOOK TRANSFER. OSS1 (KNAUSS) COMPLETED AND SUBMITTED THE CHP 266A IMMEDIATELY.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command: ALTURAS	Division: NORTHERN	Chapter: 4
Inspected by: R.M. NARDONI #11	1285	Date: 02-13-2009

Commander's Response:	

The petty cash and change fund are secure and have not had any incidence of unwarranted access. The 266A credit memo was properly secured to report the transfer of receipt book #827156 to Susanville Area.

Inspector's Comments:

THE ALTURAS AREA MAINTAINS ACCURATE SECURE RECORDS IN REGARD TO FISCAL CONTROLS. IN ADDITION THE AREA ALSO HOLDS AN OUTSTANDING RECORD OF MAINTAINING SECURE PETTY CASH FUNDS. THE AREA IS ALSO QUICK TO MAKE ADJUSTMENTS AND CORRECTIONS WHEN REQUIRED.

Required Action

Corrective Action Plan/Timeline

Alturas Area will ensure future transfers of inventoried items are accompanied by a 266A credit memo before leaving the facility. No corrective action is required.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
ALTURAS	NORTHERN	4
Inspected by: R.M. NARDONI #1128	15	Date: 02-13-2009

Page 3

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).
Commander's Basis for Appeal:
Appeal Review/Decision: (This shall be the only level of appeal).
TO SERVICE

Lead Inspector's Signature:	Date: 02-19-2 09
Responding Commander's Signature (for appeal):	Date:
Responding Commander's Signature (for appeal):	Date:

Page Affiliator

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: Crescent City	Division: Northern	Number:
Evaluated by: S.R. Jennings,	#15913, Officer	Date: 11/05/2008
Assisted by:		Date;

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Inspector's Signature:			
☐ Division Level ☐ Command Level		(5))) .		
☐ Office of Inspections ☐ Voluntary Self-Ins		\$15913				9/3
Follow-up Required: ☐ Yes ☐ No ☐ Follow-Up Insp	ection	Commander's Signature: Date: 11/05/2008				
For applicable policies, refer to State Administrati Manual (SAM), HPM 11.1, Chapter 4, and HPM 1 Chapter 2.	11.2,					
 Is management actively involved in reviewing approving paperwork related to receiving and preparing collections? 		⊠ Yes	□No	□ N/A	Remarks:	
Does the command have Standard Operating Procedures (SOP) to provide necessary guide for overall management and accountability of receiving and preparing collections?		☐ Yes	⊠ No	□ N/A	Remarks: Sta Guidance.	aff utilizing HPM's for
3. Does the command have adequate separation of duties for collections received?		⊠ Yes	☐ No	□ N/A	Remarks:	
4. Does the command have adequate separation duties for the cash receipt process?		⊠ Yes	☐ No	□ N/A	Remarks:	
5. Is access to the safe and/or vault appropriately restricted?		⊠ Yes	□ No	□ N/A	Remarks:	
6. Does a record exists which identifies who has to the safe and/or vault and when changes in occur?	access	⊠ Yes	☐ No	□ N/A	Remarks:	
7. Was the lock combination changed when an end number of employees were aware of the combination, transferred out of the Area, or no requires access?		☐ Yes	□No	⊠ N/A	Remarks:	
8. Is the safe securely anchored to the building?		☐ Yes	□No	⊠ N/A	Remarks:	
9. Are weekly transmittal reports prepared in accordance with departmental policy?		⊠ Yes	□No	□ N/A	Remarks:	
10. Is the weekly transmittal report(s) submitted to Management Section (FMS) within five workin following the week covered by the report?		⊠ Yes	□No	□ N/A	Remarks:	

INSPECTION PROGRAM

 Does the command submit the following forms with the weekly transmittal when applicable? (1) CHP 265, Sale of Discarded Tires/Junk 	⊠ Yes	□ No	□ N/A	Remarks:
Batteries/Used Rotors.				
(2) CHP 36, Evidence/Property Receipt/Report				
(Unclaimed Property).				
(3) STD 634, Absence and Additional Time Worked				
Report, for jury duty.				
(4) CHP 221, Malicious Damage Report.				
(5) CHP 464, Traffic Control Cost Estimate –				
Advance Deposit.				
(6) Civil subpoena.				
12. Is a memorandum for cash shortages prepared if				D dec.
necessary?	☐ Yes	☐ No	⊠ N/A	Remarks:
13. Does the command ensure the information written on				Bemarks
the counter receipt is complete and legible?		☐ No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee	F-7			Remarks:
deposit received?		☐ No	□ N/A	iveriains.
15. Was a counter receipt issued for each movie,		<u> </u>		Remarks:
wide-load, and special event detail(s)?		☐ No	□ N/A	Nomano.
16. Was each counter receipt issued for each sale,	N V			Remarks:
including the sale of discarded tires, junk batteries,		│ │ No	∏ N/A	remaine
used rotors, and other cash received? 17. Is sales tax added to items that are not for resale?				
17. Is sales tax added to items that are not for resale?	⊠ Yes	□No	□ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in	□ Tes	LINO	U IN/A	
numerical sequence?	⊠ Yes	□No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates	<u> </u>			
between field commands reported on a CHP 266A,	Yes	□No	⊠ N/A	Remarks:
Credit Memo - Non- Equipment?				
20. Is the STD 439, Disbursement Voucher, properly				
authorized and completed to support expenditure?	☐ Yes	□No	⊠ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment				
Requests, completed at least monthly if over \$10.00,	☐ Yes	□No	□ N/A	Remarks:
quarterly if under \$10.00, and on June 30 of each		_		
fiscal year?				
22. Is the CHP 264 properly authorized?				
		☐ No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and				Remarks:
receipts in transit equal the total of petty cash and	☐ Yes	☐ No		Remarks:
change funds?				
24. Is there documentation to support periodic reviews of				Remarks:
petty cash and change funds performed by the	⊠ Yes	☐ No	□ N/A	Tomano.
commander or designated person?				
25. Are overages and shortages of the petty cash	N V			Remarks:
funds reported to Fiscal Management Section?		☐ No	□ N/A	

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Crescent City	Northern	4
Inspected by: S.R. Jennings,	#15913, Officer	Date: 11/05/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION					
		Corrective Action Plan Included			
☐ Division Level ☐ Command Level		☐ Appeal Included			
Executive Office Level		Attachments Included			
Follow-up Required:	Forward to: Northern Division	Commander's Signature:	Date: 11/05/2008		
☐ Yes	Due Date: 11/10/2008	OIL			
Chapter Inspection:			SWEET TO SECURE		
运动形式系统专业的条件加强电影					
Inspector's Comments Reg	arding innovative Practic	es:			
None noted.					
Trono notou.					
Command Suggestions for	Statewide Improvement:				
No suggestions for improve	ments.				
			G		
Inspector's Findings:					

The Crescent City Area was found to be in compliance with the State Administrative Manual (SAM), HPM 11.1, Chapter 4, HPM 11.2, Chapter 2. Although no specific area SOP exists to provide guidelines for overall management and accountability of receiving and preparing collections, the OSSI and OAII were found to be utilizing HPM 11.1 and HPM 11.2 for guidance.

COMMAND INSPECTION PROGRAM

Command: Division: Chapter: Northern Crescent City Inspected by: Date: S.R. Jennings, #15913, Officer 11/05/2008

Page 2

Commander's Response:	

Inspector's Comments:

The Crescent City Area was found to be within CHP policy in regards to Fiscal Controls.

Required Action

Corrective Action Plan/Timeline

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

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Command: Division: Chapter: 4

Crescent City Northern 4

Inspected by: Date: 11/05/2008

Appeal Process: (Appeals shall be	filed within five (5) business days of the completed chapter inspection).
Commander's Basis for Appeal:	
	26
Annal Davis (D	
Appeal Review/Decision: (This sh	nall be the only level of appeal).

Date:

11/05/2008

Lead Inspector's Signature:

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

EXCEL HONO DOCCINEIN		
Responding Commander's Signature (for appeal):	Date:	

Page

1 of 3

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division:	Number:		
Red Bluff	Northern	4		
Evaluated by:		Date:		
B. Waltman, #A13004		11/04/08		
Assisted by:		Date:		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Inspector's Signature:				
☐ Division Level ☐ Command Level			1 2 3 35				
☐ Office of In	spections	☐ Voluntary Self-Inspection	on Borla IWalleman				
Follow-u Yes	p Required: ⊠ No	☐ Follow-Up Inspection	Commander's Signature: Date: 11/5/08			/ /	
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2.							
appro		involved in reviewing and ated to receiving and	⊠ Yes	□ No	□ N/A	Remarks:	
Proce for ov	dures (SOP) to pro	e Standard Operating ovide necessary guidelines and accountability of collections?	☐ Yes	⊠ No	□ N/A	Remarks: Co 11.2.	ommand follows HPM
	the command have for collections rec	e adequate separation of eived?	⊠ Yes	□No	□ N/A	Remarks:	
	4. Does the command have adequate separation of duties for the cash receipt process?		⊠ Yes	□No	□ N/A	Remarks:	
	ess to the safe and	d/or vault appropriately	☐ Yes	□No	⊠ N/A	Remarks:	
	safe and/or vault a	ich identifies who has access and when changes in access	☐ Yes	□No	⊠ N/A	Remarks:	
numb comb	er of employees w	n changed when an excess ere aware of the d out of the Area, or no longer	☐ Yes	□No	⊠ N/A	Remarks:	
8. Is the	safe securely ancl	nored to the building?	☐ Yes	□No	⊠ N/A	Remarks:	
	eekly transmittal re dance with departr		⊠ Yes	☐ No	□ N/A	Remarks:	
10. Is the Mana	weekly transmittal	report(s) submitted to Fiscal MS) within five working days	⊠ Yes	□ No	□ N/A	Remarks:	

INSPECTION PROGRAM

 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. CHP 464, Traffic Control Cost Estimate – Advance Deposit. Civil subpoena. 	⊠ Yes	□ No	□ N/A	Remarks:
12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	☐ No	□ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	□No	⊠ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□ No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	⊠ Yes	□ No	□ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	□No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	□ No	□ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	□No	⊠ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□ No	□ N/A	Remarks: File cabinet #1, top drawer filed under audits.
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	☐ No	□ N/A	Remarks:

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	☐ No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Red Bluff	Northern	4
Inspected by:		Date:
OSS1 B. Wal	tman, #A13004	11/4/08

number of the inspection in the Chapte shall be routed to and its due date. The	er Inspection number. Under "Fo his document shall be utilized to d	exes as necessary, or fill in the blanks as indicate rward to:" enter the next level of command where document innovative practices, suggestions for so see used to appeal findings. A CHP 51 Memorand	e the document tatewide
TYPE OF INSPECTION		☐ Corrective Action Plan Included	
☐ Division Level ☐ Command I	Level	Appeal Included	
Executive Office Level		Attachments Included	
Follow-up Required:	Forward to:	Commander's Signature:	Date:
☐ Yes	Due Date:	N. D. Lineshet	11/5/08
Chapter Inspection: Inspector's Comments Rega		es:	
Command Suggestions for S	statewide Improvement:		

Area is in compliance with policy and procedure as provided in HPM 11.1 and HPM 11.2.

Inspector's Findings:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 2

Command: Red Bluff	Division: Northern	Chapter:
Inspected by:	tman, #A13004	Date: 11/4/08

Commander's Response:	
Percentage	

Area maintains proficient fiscal controls and is in compliance with mandates associated with this chapter inspection.

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter:
Red Bluff	Northern	4
Inspected by:		Date:
OSS1 B. Wal	ltman, #A13004	11/4/08

	to a writer or other than a final work of
Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
	THE WASHINGT TO THE SERVICE OF THE S
Commander's Basis for Appeal:	
	es es
Anneal Review/Decision: (This shall be the only level of anneal)	
Appeal Review/Decision: (This shall be the only level of appeal).	
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Appeal Review/Decision: (This shall be the only level of appeal).	•
Appeal Review/Decision: (This shall be the only level of appeal).	
	₽
	•
Lead Inspector's Signature:	Date:
Lead Inspector's Signature:	Date: 11- 4-08
	Date: 11- 4-08 Date:

Remarks:

□ N/A

☐ No

⊠ Yes

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4 Fiscal Controls

Command: Trinity River	Division: Northern	Number: 175
Evaluated by: Joe Micheletti	Nottriciti	Date: 11/10/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Command Level ☐ Division Level ☐ Voluntary Self-Inspection Office of Inspections Date: Commander's Signature: Follow-up Required: Follow-Up Inspection ⊠ No 11/10/2008 Yes For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: □ N/A X Yes ☐ No approving paperwork related to receiving and preparing collections? Does the command have Standard Operating Remarks: \square N/A X Yes No Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: X Yes □ No □ N/A duties for collections received? 4. Does the command have adequate separation of Remarks: □ No □ N/A duties for the cash receipt process? 5. Is access to the safe and/or vault appropriately Remarks: X Yes No N/A restricted? 6. Does a record exists which identifies who has access Remarks: □ N/A □ No to the safe and/or vault and when changes in access X Yes 7. Was the lock combination changed when an excess Remarks: □ No □ N/A ⊠ Yes number of employees were aware of the combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: X Yes □ N/A □ No 9. Are weekly transmittal reports prepared in Remarks: ☐ N/A accordance with departmental policy? ✓ Yes ☐ No 10. Is the weekly transmittal report(s) submitted to Fiscal

Management Section (FMS) within five working days

following the week covered by the report?

INSPECTION PROGRAM

 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. CHP 464, Traffic Control Cost Estimate – Advance Deposit. Civil subpoena. 	⊠ Yes	□No	□ N/A	Remarks:
12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	□No	□ N/A	Remarks: This has never occurred; however, if it did, a memo would be completed
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□ No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?		☐ No	□ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	☐ No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	□No	□ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?		☐ No	□ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	☐ No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	⊠ Yes	☐ No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?		□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□ No	□ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	□No	□ N/A	Remarks:

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:Trinity River	Northern Division	Chapter: 4
Inspected by:Joe Mi	cheletti	Date:11/02/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION	29	☐ Corrective Action Plan Included	
☐ Division Level X Command	d Level	Appeal Included	
☐ Executive Office Level		Attachments Included	
Follow-up Required:	Forward to:	Commander's Signature:	Date:
☐ Yes X☐ No	Due Date:	Contraction of the second	2/18/08
Chapter Inspection;	dia managan yang dia		
Inspector's Comments Re	garding Innovative Practic	es:	Market Brook States
	<u> </u>		

Trinity River is a small command. One innovative practice is the daily interaction between the commander and staff to ensure policy and procedures are being followed. This allows Area to quickly identify any potential problems before they arise.

Command Suggestions for Statewide Improvement:

The current fiscal controls in place work well and allows Area to efficiently audit it's operations. This results in sound fiscal practices that are within established guidelines.

Inspector's Findings:

The Trinity River Area conducts all fiscal transactions within established policies. The commander takes an active role to make sure these policies are followed.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command:Trinity River Area	Division: Northern Division	Chapter: 4
Inspected by: Joe M	cheletti	Date: 11/02/2008

Page 2

Commander's Response:		
None.		
	9.	
Inspector's Comments:		

Required Action: None.

Corrective Action Plan/Timeline

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 3

Command:	Division: 1	Chapter:
TRINISM KINE	Nonthin	<i>L</i> /
Inspected by:	1	Date:
J34 /	Vicinal Esse	2/19/19

Commander's Basis for Appeal:	
Appeal Review/Decision: (This shall be the only level of appeal).	
Lead Inspector's Signature:	Date:
	2/18/09
CHP 680A (Rev 09-08) OPI 010	96

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

EXOLITIONS DOCUMENT		
Responding Commander's Signature (for appeal):	Date:	

Memorandum

Date:

November 27, 2008

To:

Northern Division

From:

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

Yreka Area

File No.:

145.10808.08 020

Subject:

YREKA AREA CHAPTER FOUR INSPECTION (FISCAL CONTROLS) –

EXCEPTIONS DOCUMENT RESOLUTION

The purpose of this memorandum is to provide certification of resolution regarding the Chapter Four Inspection performed on October 30, 2008. Specifically, the Exception Document recommendation to develop Area Standard Operating Procedures addressing overall fiscal management responsibility has been completed.

Please do not hesitate to contact me at (530) 841-6006 if you have any questions regarding this matter.

T. S. STURGES, Captain

Commander

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division:	Number:
Yreka	Northern	145
Evaluated by:		Date:
Sgt Tim Law	son, #12051	Oct 30, 2008
Assisted by:		Date:
	npronio, #A13017	Oct 30, 2008

discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Command Level Division Level □ Voluntary Self-Inspection Office of Inspections Date: Commander's Signature: Follow-up Required: ☐ Follow-Up Inspection YYes .No Oct 30, 2008 SEE EXCOTIONS DOC. For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: approving paperwork related to receiving and ☐ No □ N/A X Yes preparing collections? Remarks: Current SOP identifies 2. Does the command have Standard Operating collection responsibilities but does not **⋈** No □ N/A Yes Procedures (SOP) to provide necessary guidelines provide details regarding overall for overall management and accountability of management and accountability. receiving and preparing collections? 3. Does the command have adequate separation of Remarks: □ N/A X Yes □No duties for collections received? 4. Does the command have adequate separation of Remarks: X Yes □No □ N/A duties for the cash receipt process? Remarks: Area does not possess a Is access to the safe and/or vault appropriately safe. ☐ No X N/A Yes restricted? Does a record exists which identifies who has access Remarks: X N/A Yes □ No to the safe and/or vault and when changes in access Was the lock combination changed when an excess Remarks: X N/A ☐ Yes ☐ No number of employees were aware of the combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: N/A Yes □ No Are weekly transmittal reports prepared in Remarks: X Yes □ No □ N/A accordance with departmental policy? Remarks: Weekly transmittals are 10. Is the weekly transmittal report(s) submitted to Fiscal submitted the fourth workday of each □ N/A Yes ☐ No Management Section (FMS) within five working days following the week covered by the report?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such

INSPECTION PROGRAM

 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. CHP 464, Traffic Control Cost Estimate – Advance Deposit. Civil subpoena. 	Yes	⊠ No	□ N/A	Remarks: (1) Junk tires are a contractual item and not sold. Junk batteries are returned/exchanged at the small business for replacement batteries. Used rotors are donated to a local repair facility (Tanner Towing, Grenada) (2) Unclaimed property is either donated to charity, turned over to an allied agency for auction, or forwarded to supply services w/in departmental policy. (3) Currently, only jury duty summons sent with transmittal.
12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	✓ Yes	☐ No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	X Yes	☐ No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?		☐ No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	☐ No	□ N/A	Remarks: (Refer #11 above)
17. Is sales tax added to items that are not for resale?		☐ No	□ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?		☐ No	□ N/A	Remarks: If a receipt is inadvertently "skipped" the next issued receipt will utilized the skipped number.
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	☐ No	⊠ N/A	Remarks: No transfer of receipt books/certificates has occurred.
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐Yes	☐ No	⊠ N/A	Remarks: Has been no need to utilize the STD 439.
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?		□No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	☐ No	□ N/A	Remarks: OSSI Sempronio developed a spreadsheet to track this procedure. Reconciliation is done utilizing the Excel spreadsheet.
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks: Quarterly reports/audits are completed.
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	□No	□ N/A	Remarks: None have occurred within the past year.

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	▼ Yes	□No	[] N/A	Remarks: Change Fund = \$20.00 max. Patty Cash Fund = \$200.00 max.
28. Are all petty cash purchases under \$50?		□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	☐ No	□ N/A	Remarks: Recently assigned to OAII L. Terry due to pending OSSI transfer.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Yreka	Division: Northern	Chapter:
Inspected by: Sergeant T.	awson, #12051	Date: 10/30/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		☐ Corrective Action Plan Included	
☐ Division Level ☐ Command	Level	Appeal Included	
Executive Office Level		☐ Attachments Included	
Follow-up Required:	Forward to: Northern Division	Commander's Signature: Action Lawren Comm	Date:
⊠ Yes □ No	Due Date: 11/20/08	Total Comm	10/30/08
	CARTELLA STATE	and the same and the same of t	
Chapter Inspection:		MANAGEMENT TO A STATE OF THE ST	
Inspector's Comments Reg	arding Innovative Practic	es:	

Command Suggestions for Statewide Improvement:

Inspector's Findings:

Item #11. Currently, used rotors are donated to a local tow company (Tanner Towing). This practice has been in place for approximately six months and is expected to be discontinued in the near future at the request of the tow operation. Prior to this practice used rotors were discarded at the local waste disposal site. There is currently no interest by an outside entity to pay a fee for the procurement of used rotors. Per Mr. Paul Scholl at Fleet Operations Section, the current practice is acceptable. In an effort to improve accountability, effective immediately, all donated or discarded rotors will be documented on a CHP 265 (Sale of Discarded Tires/Junk Batteries/Used Rotors) form. A signature by the person or entity accepting the used rotors will be obtained whenever practical.

Fiscal controls: Overall management and accountability regarding fiscal controls are in place and functioning in accordance with expectations and departmental policies. Current Area Standard Operating Procedures (SOP), however, does not provide specific details regarding overall fiscal management and responsibility. SOP simply addresses collection responsibilities.

STA ... : OF CALIFORNIA

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Yreka	Northern	4
inspected by:		Date:
Sgt T. Lawson, #12051		10/30/08

Page 2

Commander's Response:		_
ASSIGNED TO SET. LAUSON	11 (0 (08	
D= 12/01/08		

Inspect	tor's	Com	men	s:
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Required Action

Corrective Action Plan/Timeline

(1) It is recommended that Area develop SOP addressing overall fiscal management responsibility prior to December 31, 2008.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Yreka	Northern	4
Inspected by:		Date:
Sgt T. Lawson, #12051		10/30/08

Page 3

Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	
Appeal Review/Decision: (This shall be the only level of appeal).	
	8
	Date:
Lead Inspector's Signature:	10/50/08
Recording Committee of the connection	10/50/06 Date:
Responding appeal):	